

School Readiness Program Request for Funding Cycle 2-Round 3

February 2008





School Readiness Program Request for Funding

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I. Overview

A. Program

Since 2001, First 5 School Readiness Programs have provided a variety of direct services and supports for California's youngest children and their families. All 58 county commissions and their local partners participate in School Readiness Programs. These include activities such as early education programs with kindergarten transition activities, parenting education and family literacy programs, access to ongoing health care, oral health screening and treatment, comprehensive developmental screenings and health and nutrition assessments.

First 5 California funded more than 200 School Readiness programs across 58 California counties during Cycle 1 (2001-2008). In Fiscal Year 2005-06, School Readiness programs prepared children to be ready to learn through the coordination and delivery of quality family literacy programs to more than 220,000 parents and 311,000 children.

Results from the School Readiness Program Evaluation show that programs are targeting the children who are most in need of services and supports in order to help them succeed when they enter school. Almost 60 percent of the children in target communities are English learners and 70 percent are from low-income households.

The objective of the School Readiness Program is to improve the abilities of children, families, schools and communities to prepare children to enter school ready to learn. The primary function of School Readiness is to coordinate the effective delivery of quality services and supports to California's youngest children and their families. School Readiness targets children ages 0 to 5 and their families, focusing on children in schools with an Academic Performance Index (API) score in the lowest 30 percent, including children with diverse languages and cultures.

Additional program background is available on the First 5 California Web site at: www.cafc.ca.gov/Help/abc.asp.

B. Funding

On March 16, 2006, the State Commission approved up to \$206.5 million to support Cycle 2 four-year funding for the School Readiness Program beginning Fiscal Year 2006-07 with spending flexibility through Fiscal Year 2011-12 (to facilitate three annual application rounds). This Request for Funding (RFF) provides First 5 county commissions the opportunity to apply for Cycle 2-Round 3 program funds. This RFF is the last funding application for Cycle 2 funds.

County commissions applying for School Readiness Cycle 2 funds are required to contribute a dollar for dollar cash match for School Readiness Program expenditures. Only funds serving children ages 0 to 5 and their families can be considered part of the required cash match. Acceptable sources of local county cash match include: county commission funds, dedicated expenditures by school districts and local public agencies specifically targeted to the School Readiness Program and funds from private sources such as foundations and businesses. The local county cash match funds must be auditable and traceable at the county commission level as revenue received or by written agreement, such as a memorandum of understanding (MOU), which lists services and financial commitment.

In addition to School Readiness Program funds, each county commission is allocated funds for the School Readiness coordination activities. These funds are separate and apart from the program funding allocations and do not include a match requirement and may be expended at any time during the implementation of Cycle 2.

First 5 California established county allocations of School Readiness Cycle 2 funds on a formula that blends birthrates with the approximate number of children ages 0 to 5 that will be served by “high priority schools.” Accordingly, the amount of state School Readiness funds available to each county for Cycle 2 is the same as Cycle 1. Please refer to Attachment 3, County School Readiness Allocation Table, for the allocation list.

The State Commission authorized the use of carryover of unexpended and unallocated funds from School Readiness Cycle 1 in School Readiness Cycle 2 program allocations. The amount of approved carryover funds is determined by First 5 California upon reconciliation of Cycle 1 funding.

School Readiness funds are distributed on the basis of approved applications, budgets, maintenance of service levels, and expenditures and reports. Cycle 2-Round 3 funds will be disbursed based on state fiscal years from July 1, 2008 through June 30, 2012.

School Readiness funds are disbursed in two annual disbursements each fiscal year, contingent upon:

- Approved application and program budget;
- Review and approval of fiscal reports; and
- Review and approval of budget amendments and program changes, if any

II. Requirements

A. Program Requirements

School Readiness Cycle 2 builds on Cycle 1 successes and requires that the following RFF program requirements be met. Please review the requirements before beginning your application.

1. Continued Emphasis on First 5 and School Readiness Fundamentals

Each application must assure that the Essential and Coordinated Elements are addressed and described in the Program Narrative section of the application.

These elements are:

- First 5 California's Principles on Equity (Attachment 1). All School Readiness programs must include activities to address California's cultural and linguistic diversity as well as children with disabilities and other special needs (defined in Attachment 5);
- National Education Goals Panel (NEGP) definition of school readiness revised for the First 5 California School Readiness Program (Attachment 2); and
- First 5 California Essential and Coordinated Elements of School Readiness (Attachment 2)

Cycle 1 used the Five Essential and Coordinated School Readiness Elements and Cycle 2 uses the four Annual Report Result Areas. The crosswalk table below summarizes the relationship between the two.

Cycle 1 Five Essential and Coordinated School Readiness Elements	Cycle 2 First 5 State Evaluation Annual Report Result Areas
1. Parenting/family support	1. Improved family functioning
2. Early care and education	2. Improved child development
3. Health and social services	3. Improved health
4. Schools' readiness for children	4. Improved systems of care – each School Readiness program must report on schools' readiness for children
5. Infrastructure, administration and evaluation	

2. Maintenance of School Readiness Efforts

Existing School Readiness communities, served by 206 Cycle 1 School Readiness programs, were originally selected because they served schools with Academic Performance Index (API) scores primarily in the lower three deciles (1999/2000). In many cases, the API scores for schools in School Readiness communities have increased in recent years; some to the credit of First 5-funded School Readiness Programs, other local partners and families.

To ensure the long-term child and family benefits of these improvements, School Readiness activities in these communities must be continued.

Maintenance of effort means that county commissions are expected to continue their commitments to existing School Readiness communities into Cycle 2 of School Readiness programming. The number of children and families previously served, as well as the amount and spectrum of services provided from Cycle 1, must continue. County commissions will indicate the status of proposed Cycle 2 services (revised, new or continued) in relationship to services provided in Cycle 1 on Form 3 (under the 'Services' column).

Maintenance of effort in existing School Readiness Program communities does not preclude a county commission from replacing partners and/or practices they have found to be ineffective or, in the case of school closures, no longer feasible. Changes to address any ineffective aspects of local School Readiness programming are strongly supported. However, the requirement that existing School Readiness Program communities continue to receive coordinated direct services remains.

Moreover, the maintenance of effort requirement does not preclude a county commission from expanding its local School Readiness programming. Expansion is defined as the addition of newly funded School Readiness programs, practices, services or school districts/schools. Expansion is encouraged and must meet School Readiness RFF requirements.

3. Implementation of Evidence-based Practices

To assure positive results, evidence-based and/or promising practices are required for all funded School Readiness Programs. With the importance of long-term and outcome based evaluations, consistent implementation of these practices remains a major focus for Cycle 2.

County commissions must identify and describe the evidence-based practices (those practices with confirmed evaluation results) they will implement on Form 3. In some cases there may be a need to implement promising versus evidence-based practices. If it is a promising practice, programs must cite the source of the preliminary research base or rationale for use of the selected practice.

Please see Attachment 5, School Readiness Program Explanation of Terms, for more information regarding evidenced-based and promising practices.

4. Collaboration with County and State First 5 Programs and Projects

School Readiness is the overarching vision for First 5 California and provides the framework for all other programs and projects. Close work among First 5

California programs and projects at both the county and state commission levels (e.g., CARES, Health Access, Tobacco Cessation, Special Needs Project, Power of Preschool, Oral Health, *Kit for New Parents*, KCET-A Place of Our Own/Los Niños en Su Casa and Migrant Education Even Start) is essential to the overall effectiveness of the School Readiness Program.

In the Program Narrative section of the application, applicants must articulate what First 5 programs and projects they are interfacing with, at what level and their expected results. Also, identify partners associated with each service on Form 3 under the column heading 'Partners'.

5. Statewide and Local Evaluations

The Evaluation Workgroup developed a structure to evaluate School Readiness Programs and demonstrate their impact. There are three components to the School Readiness evaluation:

a. Annual Report service data:

Refer to the Annual Report Guidelines at www.first5eval.com/reportingtools.htm for the most recent reporting requirements. Please note that the reporting requirements may change annually prior to the beginning of each fiscal year. Counties are not required to use the School Readiness Menu of Outcomes and Indicators for Statewide Evaluation.

b. First 5 California special studies:

First 5 California may develop specific studies to evaluate the effectiveness of School Readiness Programs on a statewide level. For example, in the past, we conducted the Kindergarten Entry Profile study. As a condition of receiving funds, School Readiness programs must agree to cooperate with First 5 California and/or its contractors in any future statewide studies.

c. Local Evaluations

County commissions must conduct evaluations of local School Readiness activities and submit their local evaluation designs with their Cycle 2 applications. Each county should submit one evaluation design that includes all of its School Readiness Programs. See section IV, Local Evaluation Design, on page 18 for more detail.

Each county must submit a local county evaluation update, including outcomes, annually by November 1 for the previous fiscal year. Instructions for submitting the local evaluation update are included in the Annual Report Submittal Guidelines available at www.first5eval.com.

6. Certification of Program Compliance

Acceptance of School Readiness Program funds affirms a county commission's responsibility for and commitment to:

- Monitor county and local programs to ensure expenditure of funds are made consistent with the authorized use of funds detailed in this RFF and the approved application;
- Submit accurate budget and program change requests;
- Notify First 5 California of any significant fiscal or program compliance issues that may adversely impact the implementation of the approved application;
- Submit timely and accurate fiscal reports to support bi-annual disbursements; and
- Comply with First 5 California Guidelines for submitting annual report information pertaining to School Readiness Programs.

B. Fiscal Requirements

1. Eligibility

Only First 5 county commissions are eligible to apply for School Readiness funds offered through this RFF. School Readiness programs must serve communities with Academic Performance Index (API) scores in the lowest 30 percent of all scores as determined by the California Department of Education (CDE). The API is a numeric index that serves as the cornerstone of the CDE school accountability system designed to measure the academic performance of public schools.

(NOTE: Use current API scores for expansion purposes found at the following CDE Web site at www.cde.ca.gov/ta/ac/ap/).

a. Period of Program Authority (Funding Period)

All School Readiness Cycle 2 programs will be funded for a maximum of four years beginning July 1, 2008, through June 30, 2012 and shall operate on a state fiscal year (July 1 through June 30).

b. Funding Authority

School Readiness Cycle 2 funding allocations have been established for each county commission. Attachment 3 of this RFF details the following:

- Total 4-year School Readiness Program Allocations
- Annual School Readiness Program Allocations
- Total 4-year School Readiness Coordination Fund Allocations
- Total School Readiness Program and Coordination Fund Allocations

The total funding allocations listed in Attachment 3 are the maximum amount of funds that can be requested in all three rounds of School Readiness Cycle 2 funding.

A minimum dollar for dollar (1:1) county commission and/or county partner new cash match is required as a condition of receipt of state School Readiness Program funds. All funds used to meet the matching funds requirement to receive First 5 California School Readiness Program funds must adhere to the guidelines cited in this RFF. School Readiness Program matching funds may not be used to meet match requirements of other First 5 California programs.

The maximum program funding allocations listed in Attachment 3 may only be adjusted to incorporate approved unexpended or unallocated program funds from School Readiness Cycle 1 authority, which must be requested and approved at the time of application for funding or on subsequent fiscal reports.

2. Fund Disbursements

a. Coordination Funds

County School Readiness Allocation Table, Attachment 3, lists the maximum authorized coordination fund amounts available to a county in all Cycle 2 funding rounds. The First 5 county commissions administer the coordination funds at the county level. First 5 California disburses coordination funds annually based on an approved disbursement schedule during the four-year funding cycle after First 5 California approves the Cycle 2-Round 3, School Readiness application. Scheduled disbursements are adjusted based on reported use.

The amount of School Readiness coordination funds to be disbursed for program years two through four will be based upon the county commission's submission of, and First 5 California's approval of, the annual fiscal report, County Coordination Funds Summary and Request for Funds, Form IC-Cycle 2, reflecting coordination fund expenditures (all fiscal forms are located at www.first5eval.com).

Coordination funds may be expended at any time during the School Readiness Cycle 2 program approval period for all rounds.

Coordination funds disbursed that are not expended by the end of the program period authorized in this RFF must be returned to First 5 California consistent with the instruction provided by First 5 California.

Each county commission is responsible for ensuring that coordination funds are expended consistent with the authorized use of those funds as described in the guidelines detailed in Fiscal Requirements, Section B.4 of this Cycle 2-Round 3, School Readiness RFF.

b. Program Funds

Program funds are disbursed biannually upon approval of the School Readiness Cycle 2-Round 3 application and any approved budget amendments. Disbursements are scheduled for July and January of each fiscal year. Cycle 2 funding will not be adjusted for any requested carryover funds until the second apportionment of Cycle 2 disbursements.

The July disbursement will be one-half of the first year budgeted amount represented in the application (including any application amendments). The second apportionment will be based on the fiscal report and the amount of disbursement will be the difference between the budgeted amount and any unspent funds disbursed from the prior year.

3. Disbursement Withholds

Failure to submit timely and accurate fiscal and annual reports detailed in this RFF, or as requested by First 5 California, will result in a withhold of a scheduled disbursement of funds. Serious delays in fiscal report submission may result in a written request by First 5 California for an accounting of expenditures or special review of fiscal and program activity. Should First 5 California determine that a county commission has failed to adhere to the terms and conditions of the RFF and/or its application, including any amendments to the application, First 5 California may reduce or terminate program participation.

4. Use of County Coordination Funds

As School Readiness Programs begin Cycle 2, county coordination funds (formerly known as implementation funds) will be available to assist with coordination of local School Readiness Programs. The annual amount of available county coordination funds will remain stable based on the established county allocation (Attachment 3). County coordination funds will be available for expenditures incurred only within the Cycle 2 funding timeframe. County coordination funds may be used only for the following purposes:

a. School Readiness Program Management

- Staff to monitor local programs – complete typical program accountability activities (e.g., adherence to First 5 California and School Readiness Program RFF policies, timely and accurate reporting, licensing, etc.), request and review regular progress reports, perform site visits and observe program implementation, review budgets and expenditures, prepare reports, identify areas for improvement, highlight best and promising practices and share critical challenges and successes with First 5 California staff;
- Technical assistance, training, and conferences – assess and address the technical assistance/training needs of School Readiness staff members at the county commission and/or funded program levels; and
- Program operations – support areas such as program planning, development and evaluation of School Readiness efforts at the county commission and/or funded program levels.

b. School Readiness Program Services

Local program services – expansion of program services offered at the local level by increasing program budgets.

(NOTE: This may be done at the time of application only. Once program budgets are approved, they may not be increased by shifting State funds; any subsequent increases must be made using county commission or local partner funds.)

c. School Readiness Program Evaluation

Analysis of local evaluation data and School Readiness-related research, solicitation and analysis of information regarding the status and needs of children ages 0 to 5 and their families, and to subsequently develop and modify programs to better address identified needs.

5. Amendments to Four-Year Budget

a. Annual Budget Amendment within Existing Expenditure Authority

County commissions shall adhere to the approved four-year budget. Any authorized allocation of funds in a specific fiscal year that are not expended may be utilized at any time during the period of authorization by submitting School Readiness Form B, Request for Budget Revision, to First 5 California prior to the effective date of the fiscal or program change. Form

B, Request for Budget Revision is available on the First 5 California Research and Evaluation Web site at: www.first5eval.com

b. Authorization for Change in Funding Authority

Consistent with the Cycle 2-Round 3, School Readiness RFF, county commissions are permitted to use unallocated and/or unexpended School Readiness Cycle 1 program funds (hereinafter referred to as "Cycle 1 carryover") during the School Readiness Cycle 2-Round 3 approved four-year funding period. All requests for use of Cycle 1 carryover funds must be submitted to First 5 California by November 1, 2008 based on reconciled carryover amounts incorporated in the submission of the annual fiscal reports.

A budget amendment is required if any of the following conditions exist:

- i. If a county commission includes in the School Readiness Cycle 2-Round 3 application a proposed budget that includes use of Cycle 1 carryover funds, and the request for use of Cycle 1 carryover funds was approved, First 5 California's notice of funding authority will include the projected carryover amount. However, if the estimated carryover amount submitted by a county commission is revised or determined to be incorrect, the county commission must submit an amended budget.
- ii. If a county commission did not include a request to use Cycle 1 carryover funds in the School Readiness Cycle 2-Round 3 application, then the county commission will be required to complete and submit a budget amendment by November 1, 2008 to request use of Cycle 1 carryover funds during the approved School Readiness Cycle 2-Round 3 funding period.
- iii. If a county commission wishes to change a budget category that exceeds the lesser of \$50,000 or 20 percent of an approved budget category.

To request a budget amendment, the county commission must complete and submit to First 5 California, School Readiness fiscal forms 4, 5 and N. All fiscal forms required to request a budget revision can be accessed at First 5 California's Web site at: www.first5eval.com.

Upon the review, reconciliation, and approval by First 5 California of a county commission's request for a budget amendment, First 5 California will issue an amended award notice to the county commission.

6. Fund Accounting Requirements

Consistent with Section 20050 of the California State Administrative Manual, First 5 California must maintain effective accounting controls over expenditures and disbursements.

All School Readiness funds disbursed to county commissions shall be deposited in a federally insured banking institution located in California. Commissions with multiple fund sources shall establish and maintain separate accounts or subaccounts for the state's share of School Readiness Program and coordination fund disbursements. The receipt and expenditure of state School Readiness Program funds must be auditable and clearly traceable. Additionally, county commissions must maintain adequate fiscal records to document compliance with the cash match requirement.

County commissions must place advanced program or coordination funds in an interest bearing account and the interest bearing account shall be a separate account or subaccount from the county commission's general account. County commissions may not use interest earnings for program expenditures. Interest earned on funds advanced by First 5 California shall be returned to First 5 California upon reconciliation of program funds. County commissions must report the amount of interest earned to First 5 California within 90 days of the end of the period of program authority. First 5 California will invoice county commissions for the interest revenue and those funds must be remitted to First 5 California within thirty (30) days of receipt of the invoice.

7. Program Compliance Requirements

School Readiness Program funds may only be expended for the purposes detailed in the Request for Funding dated February 2008 and consistent with the approved funding application, or subsequent amendments, if any.

8. Retention of Program Expenditure Records

State funds disbursed by First 5 California to county commissions are subject to examination and audit by First 5 California or its designee, or the State Auditor, for a period of three years after final payment of program expenditures. Therefore, records must be retained for this period. First 5 California or the state shall have access to School Readiness program sites, upon reasonable notice, during normal business hours for the purpose of interviewing employees and inspecting and copying such books, records, accounts and other material that may be relevant to a matter under investigation for the purpose of determining compliance with the use of School Readiness program funds.

9. Return of Unexpended Funds

Funds disbursed to a county commission that are unexpended at the conclusion of the authorized period of performance shall be remitted to First 5 California. County commissions must report to First 5 California the amount of program expenditures within 90 days of the end of the period of program authority. First 5 California will invoice county commissions for the unspent program funds that must be remitted to First 5 California within thirty (30) days of receipt of the invoice.

10. Dispute Resolution

In the event of a dispute, the Executive Director of the First 5 county commission shall notify the First 5 California Chief Deputy Director in writing within thirty (30) calendar days of discovery of the problem. Within thirty (30) calendar days of receiving the county's written dispute, the Chief Deputy Director will review the facts of the dispute, and if deemed necessary, will meet with the County Executive Director or his/her designee for purposes of resolving the dispute. The Chief Deputy Director will render a decision regarding the dispute within sixty (60) calendar days of receiving the county's notification of the dispute. The decision of the Chief Deputy Director shall be final.

C. Reporting Requirements

As a condition of funding, School Readiness programs shall submit accurate School Readiness reports in a timely manner. These reports include:

1. School Readiness (SR) Annual Report Narrative – Part 4, Appendix F of the Annual Report Submittal Guidelines

Counties shall supplement the reporting of evaluation data and fiscal data with a narrative analysis of the results achieved versus results planned. This analysis is limited to two to five pages and shall address:

- Results that were achieved and not achieved, the reasons why and the impact on the project;
- Program successes and contributing factors;
- Program barriers/challenges and contributing factors;
- Lessons learned and/or program modifications that are being implemented to improve future results;
- Data substantiating the appropriateness of continuing to use a practice not included on the School Readiness Program Evidenced-based Practices and Resources Chart or a description of appropriate redesign plans (if applicable);
- Staff, partner and/or program changes;

- Schedule of past and upcoming major activities;
- Resources to share with other School Readiness programs; and
- Updated Program Profiles (Form 7) for each funded School Readiness Program

2. Annual Evaluation Report

All funded School Readiness programs are required to fully participate in the statewide evaluation and any research studies developed by First 5 California. Further, each county must implement a local evaluation of its School Readiness programs. Refer to Section IV on page 18 for a description of these evaluation requirements.

3. Fiscal Reports

County commissions must maintain accurate fiscal data, in accordance with generally accepted accounting principles and standards for governmental entities, and report actual expenditures by budget category on the School Readiness yearly fiscal reports.

Information contained in School Readiness fiscal reports should be based on verified year-end financial records.

County commissions must notify First 5 California in advance in writing of any budget changes that exceed the lesser of \$50,000 or 20 percent of an approved budget category and submit a budget amendment consistent with the instruction detailed in section B.5.b. (See page 9).

If First 5 California finds a variance between county commission expenditures reported and approved program budgets described above, First 5 California will instruct the county commission to complete and submit the required budget amendment forms. First 5 California may withhold the processing of a county commission's disbursement pending the review and approval of the budget change request.

County commissions must report use of county coordination funds separately from School Readiness Program funds on the annual fiscal reports, using Form IC, County Coordination Funds Summary and Request for Funds, which can be found at www.first5eval.com.

a. Fiscal Report Timeline

The yearly School Readiness fiscal reports are due by 5:00 p.m. on November 1 of each fiscal year.

b. Fiscal Report Forms

Below is a list and description of forms used to plan, revise, and report fiscal and program information for School Readiness program funds:

Form Title/Number	Description
Fiscal Program Narrative	A narrative to explain program changes, expenditures and changes in contact personnel shall be reported annually with the fiscal report
Directory and Profile	Summarize the major services of each School Readiness Program
Form F	Funding Summary and Request
Form B	Request for Budget Revision from Cycle 2
Form X	Annual Expenditure Report from Cycles 1 and 2
Form IC	County Coordination Funds Summary and Request for Funds
Form CC	Fiscal Report Checklist, Certification and Request for Funds
Form N	Program and Budget Narrative
Form P	Program Directory Information/Program Profile

The above forms are available on First 5 California's Web site at: www.first5eval.com. The School Readiness forms may be modified or amended during the period of authorized funding. County commission staff should check the First 5 California Web site to ensure use of the most current forms prior to completing the forms.

c. Financial Management Guide Compliance

First 5 California requests county commissions use the First 5 Financial Management Guide (Guide) terms and definitions when reporting to or communicating with First 5 California regarding the School Readiness Program. The guidelines and glossary contained in the Guide provide a common frame of reference and language for use between State and county commissions when addressing financial matters. The First 5 Financial Management Guide is available on the First 5 California Web site at: www.ccfc.ca.gov/commission/fiscal.asp.

d. Directions for Report Submission

All School Readiness program and fiscal reports must be received by First 5 California as specified in Item a above. Please send reports to:

First 5 California
2389 Gateway Oaks, Suite 260
Sacramento, CA 95833
Attn: First 5 Forms
forms@ccfc.ca.gov

III. Application Submission Requirements

A. Application Timeline

February 8, 2008	First 5 to host RFF question and answer conference call
April 4, 2008	Applications are due to First 5 California by 5:00 p.m.
April 30, 2008	Funding notification disseminated to county commissions
July 1, 2008	Cycle 2-Round 3 program funding period begins

B. Application Preparation

First 5 California requires that all School Readiness applications for funding be completed in accordance with the following instructions:

1. Format

Please adhere to the following formatting guidelines for submitted applications: Arial 12-point font, single-spaced, one-sided, 1-inch margins, and sequential page numbering.

2. Presentation of Application

Each application must include the Cycle 2 School Readiness Program Application Cover Sheet as the first page of the application. Please ensure that each application is adequately secured with a staple in the upper left-hand corner.

3. Number of Copies Required

A single application package incorporates one (1) application with original signatures and two (2) copies of the entire original application, which totals three complete packages as well as an electronic copy. The application requires an original signature by the agency's authorized agent.

4. Address to Submit the Application

- a. Applicants must submit their hardcopy application package to:

First 5 California
2389 Gateway Oaks, Suite 260
Sacramento, CA 95833
Attn: First 5 Forms

Applicants may mail or personally deliver the applications. Each application must be complete when submitted. All applicants agree that by submitting

an application, they authorize First 5 California to verify any and all claimed information and to verify any references named in the application.

- b. Applicants must also submit the electronic copy to forms@ccfc.ca.gov.

Please organize your application based on the components outlined in the Application Checklist in the corresponding order and use the corresponding numbers. All areas must be fully answered for an application to be considered complete. Incomplete applications may delay funding.

5. Request for Funding Question and Answer Session

First 5 California will host a conference call to answer questions regarding the RFF, including program requirements, fiscal requirements and application requirements on Friday, **February 8, 2008** from 11 a.m. to 12 p.m. County commission staff may call in on 1-888-391-3141. The participant pass code is 44162.

IV. Request for Funding Application Components and Checklist

Please organize your application based on the components outlined below.

Application Checklist

☐ **Form 1 – Program Application Coversheet**

Form 1 must be signed by the Executive Director or the appropriate local commissioner.

☐ **Program Description Narrative (Maximum of six pages.)**

1. Needs Assessment:
 - a. Describe the needs assessment conducted to determine the proposed School Readiness service(s)/program. Common assessments include a review of student performance data, parent interviews, review of community data.
 - b. Briefly discuss the results of the assessment and how these were used to design your program. Highlight any newly identified needs for Cycle 2 and explain how they will be addressed.
2. Describe proposed services, site location, community characteristics and children and families to be served through this application (ethnicity, language(s) spoken, income levels, special needs, etc.).
3. Describe how proposed services address California's cultural and linguistic diversity in addition to children with disabilities and other special needs.
4. Describe how the School Readiness Program will collaborate with:
 - a. Other State First 5-funded programs (e.g., CARES, *Kit for New Parents*, Oral Health)
 - b. Other County First 5-funded programs
5. Describe how the Principles on Equity (Attachment 1) are integrated into the School Readiness Program. Please cover all of the four main areas:
 - a. Inclusive Governance and Participation
 - b. Access to Services
 - c. Legislative and Regulatory Mandates
 - d. Results-based Accountability

☐ **Local Evaluation Design (Maximum of two pages.)**

The local evaluation design should be brief and should include:

1. **Purpose** – Define the purpose of the evaluation. What specific outcomes of your School Readiness programs will be examined? It may be helpful to begin by reviewing the goals of your programs and selecting specific areas to study. The program outcome areas evaluated must be specifically related to the First 5 and School Readiness fundamentals described above in Section II.A.1, (See page 3). For example, you may want to study children’s literacy skills.
2. **Evaluation Method(s)** – Each method has its strengths and weaknesses, and certain programs and outcomes are more appropriately studied through some methods than through others. Common evaluation methods are: focus groups, surveys and existing data analysis.
3. **Measurement Technique** – How will the outcomes be measured? For example, a literacy assessment tool could be used to measure improved literacy.
4. **Sample** – Who will be included as participants in your evaluation? For example, you may administer a literacy assessment to all three-year-old children or another sample such as five-year-old children. Briefly describe the processes for ensuring participant’s confidentiality.
5. **Data processing** – How will the collected data be analyzed?
6. **Conclusions** – Describe how you intend to use the research findings to improve your School Readiness programs.

☐ **Form 3 – School Readiness Program Summary**

Complete one form for each of the four Result Areas (a minimum of four forms is required).

☐ **Form 4 – Funding Sources and Amounts**☐ **Form 5 – Annual Budget by Expenditure Classification and Accompanying Narrative**☐ **Form 6 – Partner and School List**☐ **Form 7 – Program Directory Information/Program Profile**☐ **Form 8 – County Coordination Funds Budget by Line Item**

☐ **Form 9 – Request for Cycle 2 County Coordination Funds**

The maximum county allocation of Cycle 2 coordination funds can be found on Attachment 3.

Attachment 1**Principles on Equity**

In 1999, First 5 California recognized the significant gaps and disparities in the provision of services for children and their families. In order to best fulfill its mission, First 5 California established the Advisory Committee on Diversity (ACD) to serve as its policy advisors on issues related to diversity and equity and support the state on adopting equitable policies and practices that would best provide culturally competent, quality early childhood services and programs.

The ACD developed a set of Equity Principles that addressed issues of diversity¹ and impartiality. There are four main components to the Principles on Equity:

- a. Inclusive Governance and Participation
- b. Access to Services
- c. Legislative and Regulatory Mandates
- d. Results-based Accountability

These Equity Principles guide the policy work and funding decisions of First 5 California. Additionally, they are intended for use by First 5 staff and contractors. The ACD developed these Equity Principles in response to the County Commissions' requests for support in this area. While the Equity Principles are not mandates, they serve as guidelines to ensure that the programs and services established and supported by First 5 California funds are both culturally and linguistically inclusive.

The Principles on Equity were adopted on October 18, 2001:

1. Inclusive Governance and Participation

First 5 California recognizes that children develop within the context of their families and communities and as such, it is essential that First 5 California programs secure and obtain meaningful participation and input of the families and other caregivers of children from diverse backgrounds and with diverse abilities throughout all program development and implementation phases. First 5 California programs should:

- Use culturally and linguistically appropriate outreach strategies, as well as approaches effective in reaching parents of children with disabilities and other special needs and parents who themselves may have disabilities;
- Assure that all diverse groups, particularly those who have been traditionally underrepresented and underserved, are actively engaged and involved so that they can have an equal voice in defining their needs and finding solutions;

¹ First 5 California defined "diversity" to be inclusive of children pre-natal to five years of age, regardless of immigration status, who: (a) are from different ethnic, linguistic, cultural, socio-economic, religious, geographical and/or other historically or currently under-served communities; or (b) have disabilities and other special needs.

- Use community organizations, both formal and informal networks, and other communication vehicles that have been effective in reaching out to, and serving diverse groups;
- Promote and support the development of emerging parent and community leaders; and
- Assure that families representing diverse groups participate equitably in the planning, delivery and evaluation of initiatives, which includes the grant criteria process, advisory groups and other committees.

2. Access to Services

To assure that children from diverse backgrounds and with diverse abilities have access to high quality and culturally competent early care and education/development opportunities as a critical means for achieving equity, First 5 California funded programs should:

- Set measurable goals and objectives for increasing access and achieving equity;
- Use culturally and linguistically relevant methods of communication and community outreach, which include engaging respected community persons to promote messages;
- Assure that programs provide access to information, resources and support regarding children's development, including strengths and needs for all families;
- Conduct assessments that include assets, challenges, and gaps in communities and systems, as well as analyze disaggregated community demographic data (ethnicity, disabilities, language, age, socio-economic status, literacy levels, underinsured/uninsured rates, etc.);
- Use these assessments and data to establish priority desired results and to design programs that will remove disparities and attain desired results;
- Provide information and support through culturally and linguistically responsive service providers and service providers who are knowledgeable about children with disabilities and other special needs and their families;
- Promote collaboration across disciplines, service delivery systems and communities. This includes implementation of a coordinated service delivery approach to young children, especially children with disabilities and other special needs and their families who are often served by a variety of agencies, programs, and service providers;

- Develop print, audio-visual, and electronic materials that are culturally and linguistically relevant for all communities served, are written at appropriate literacy levels, and are available for specialized populations (e.g., Braille, closed captioning);
- Schedule services in accordance with family needs and situations (work schedules, time of the year, language, transportation, etc.);
- Support programs that are individualized to address the cultural and linguistic diversity, as well as the range of ability levels and behavioral and learning styles that are representative of California's children and families;
- Ensure availability of adapted and specialized services and supports as needed to assure full participation for all children and their families. Individualization of services and supports for all families is critical to actively support a child's learning experiences in natural environments to the maximum extent appropriate;
- Demonstrate awareness of, and referrals to, services, resources and other supports available for children with disabilities and other special needs and their families;
- Demonstrate a commitment to promote a workforce that has skills, knowledge of, and is reflective of the children and families being served, and a workforce that is knowledgeable about and supportive of children with disabilities and other special needs and their families;
- Demonstrate that staff who work with or on behalf of children and their families display a positive attitude about working with children with disabilities and special needs, as well as children from culturally and linguistically diverse backgrounds; and
- Promote policies to assure training and technical assistance necessary to improve knowledge, attitudes and skills of all involved with the Commission and build their capacity to work within culturally and linguistically diverse communities, as well as to work more effectively in serving the range of abilities, behavioral and learning styles that are representative of California's children.

3. Legislative and Regulatory Mandates

Agencies must adhere to all legislative, regulatory and accreditation mandates pertinent to the provision of services to children from diverse backgrounds and with diverse abilities. First 5 California programs should:

- Demonstrate leadership in assuring that all staff receive training, are knowledgeable about pertinent legislative and legal mandates and have the skills

and resources necessary to implement required modifications or enhancements to services or facilities;

- Inform parents of their rights and responsibilities as well as those of their children;
- Offer services to all children and their families regardless of immigration status (First 5 California Resolution - June 24, 1999);
- Be held accountable for compliance with key laws and other related mandates, for example:
 - Title VI of the Civil Rights Act of 1964: requires linguistic access via qualified interpreters and translated materials at no cost to the individual;
 - Americans with Disabilities Act 1990 (ADA): prohibits discrimination on the basis of disability and promotes equal access, building modifications, and hiring practices for persons with disabilities;
 - Language Access Laws, i.e., Dymally-Alatorre Bilingual Services Act (CA): imposes direct obligations on state/local governmental agencies to provide appropriate translation services for languages spoken by 5% or more of population served;
 - Individuals with Disabilities Education Act (IDEA): establishes special education and coordinated, family centered service delivery systems for children with disabilities from birth through age 5 through several programs e.g., California's Early Start Program, California Department of Education's Preschool Special Education Program; and
 - Executive Order 13166: issued on August 11, 2000, to provide meaningful access to Limited English Proficient (LEP) individuals to federally assisted and federally conducted programs and activities.

4. Results-based Accountability

First 5 California programs shall have well defined and meaningful outcomes that benefit children from diverse backgrounds and with diverse abilities and thus should:

- Commit to attaining their stated program outcomes realizing that their results are crucial to ongoing sustainability and advocacy;
- Allocate sufficient resources to support accountability and evaluation activities;
- Use program planners, evaluators and other experts who are knowledgeable about children's differing abilities, and who are culturally competent in regards to

the population(s) served in developing effective assessment and evaluation tools and methods;

- Conduct assessments that include assets, challenges, and gaps in communities and systems, as well as analyze community demographics (ethnicity, disabilities, language, age, socio-economic status, etc.);
- Assess regularly their inclusive governance process and provide updates on the extent of the family involvement and engagement throughout all phases of program development (planning, implementation and evaluation);
- Use culturally and linguistically appropriate questions, instruments and other research methods to collect relevant data from the populations and communities served;
- Include questions on disabilities and other related issues in surveys and other evaluation and research tools/instruments;
- Collect and report disaggregated data (e.g., ethnicity, disabilities, language, age, socio-economic status, etc.) describing children and families served and the achievement of access, equity and desired child/family results;
- Recognize that accountability and results are crucial to ongoing advocacy and sustainability; and
- Disseminate best practices and promising practices for the benefit of all children and their service providers throughout California.

Attachment 2

School Readiness: National Education Goals Panel Definition and the Essential and Coordinated Elements

The following elements of the First 5 California School Readiness Program were adapted from the National Education Goals Panel (NEGP) definition of School Readiness:

- a. Children's readiness for school
 - Physical well-being and motor development
 - Social and emotional development
 - Approaches to learning
 - Language development
 - Cognition and general knowledge
- b. Schools' readiness for children
- c. Family and community supports and services that contribute to children's readiness for school success

Essential and Coordinated Elements

Each School Readiness program must include, or link with, the following **Essential and Coordinated Elements** that support and align with the National Education Goals Panel's three components of school readiness. The mix of services and supports within each element needs to be coordinated and/or developed by county commissions and their partners, including families, schools and communities, to better deliver needed services and supports while building on the resources/assets of each community. All services and supports must be culturally and linguistically appropriate and sensitive to the needs of diverse populations including children with disabilities and other special needs.

Children's Readiness for School

1) Parenting/Family Support (Improved Family Functioning)

Includes services such as family literacy and language acquisition especially for non-native speakers, parent education, home visitation, employment development and family court services. Activities related to this element will be included in Result Area 1, Improved Family Functioning.

Family and Community Supports and Services

2) Early Care and Education (ECE) (Improved Child Development)

Includes practices that focus on school readiness goals for children such as ECE services, improved access to high quality ECE through referrals, information and outreach to parents and providers using practices that are culturally and linguistically appropriate and address the needs of children with disabilities and improved implementation of effective practices through training for all types of ECE providers. Activities related to this element will be included in Result Area 2, Improved Child Development.

3) Health and Social Services (also supports 'Children's Readiness for School')

Includes outreach services such as health plan enrollment, provision of and/or referral to basic health care including prenatal care and services for children with disabilities and other special needs, comprehensive screening and assessment, mental health counseling, nutrition services, oral health services, drug and alcohol counseling, child abuse prevention and intervention and case management. Activities related to this element will be included in Result Area 3, Improved Health.

4) Schools' Readiness for Children (Improved Systems of Care)

Includes communication of Kindergarten standards, schools' outreach to parents of children birth to 5, early care and education and Kindergarten transition programs, language development, cross-training and shared curriculum and planning for early childhood educators/care providers and early elementary teachers, and seamless provision of health, social services, after-school programs, and other supports for children and families. Activities related to this element will be included in Result Area 4, Improved Systems of Care.

5) Infrastructure, Administration and Evaluation (Improved Systems of Care)

Includes long-term family involvement/leadership development, program/district/county coordination, administrative support, training and professional development, and transportation. Also includes program evaluation, fiscal accountability, and collaborative governance (including families and community members). Activities related to this element will also be included in Result Area 4, Improved Systems of Care.

County School Readiness Allocation Table

COUNTY	ANNUAL SCHOOL READINESS PROGRAM	TOTAL 4-YR SCHOOL READINESS PROGRAM	TOTAL 4-YR COUNTY COORDINATION*	TOTAL ALLOCATION
Alameda	\$1,624,889	\$6,499,556	\$400,000	\$6,899,556
Alpine	\$100,000	\$400,000	\$100,000	\$500,000
Amador	\$100,000	\$400,000	\$100,000	\$500,000
Butte	\$159,196	\$636,784	\$200,000	\$836,784
Calaveras	\$100,000	\$400,000	\$100,000	\$500,000
Colusa	\$100,000	\$400,000	\$100,000	\$500,000
Contra Costa	\$918,998	\$3,675,992	\$400,000	\$4,075,992
Del Norte	\$100,000	\$400,000	\$100,000	\$500,000
El Dorado	\$100,000	\$400,000	\$100,000	\$500,000
Fresno	\$1,665,172	\$6,660,688	\$400,000	\$7,060,688
Glenn	\$100,000	\$400,000	\$100,000	\$500,000
Humboldt	\$100,000	\$400,000	\$100,000	\$500,000
Imperial	\$168,061	\$672,244	\$200,000	\$872,244
Inyo	\$100,000	\$400,000	\$100,000	\$500,000
Kern	\$1,185,464	\$4,741,856	\$400,000	\$5,141,856
Kings	\$224,210	\$896,840	\$400,000	\$1,296,840
Lake	\$100,000	\$400,000	\$100,000	\$500,000
Lassen	\$100,000	\$400,000	\$100,000	\$500,000
Los Angeles	\$16,670,523	\$66,682,092	\$1,360,000	\$68,042,092
Madera	\$199,701	\$798,804	\$200,000	\$998,804
Marin	\$136,369	\$545,476	\$200,000	\$745,476

* **NOTE:** The total authorized coordination funds cover all Cycle 2 funding rounds.

COUNTY	ANNUAL SCHOOL READINESS PROGRAM	TOTAL 4-YR SCHOOL READINESS PROGRAM	TOTAL 4-YR COUNTY COORDINATION	TOTAL ALLOCATION
Mariposa	\$100,000	\$400,000	\$100,000	\$500,000
Mendocino	\$100,000	\$400,000	\$100,000	\$500,000
Merced	\$568,400	\$2,273,600	\$400,000	\$2,673,600
Modoc	\$100,000	\$400,000	\$100,000	\$500,000
Mono	\$100,000	\$400,000	\$100,000	\$500,000
Monterey	\$813,554	\$3,254,216	\$400,000	\$3,654,216
Napa	\$100,000	\$400,000	\$100,000	\$500,000
Nevada	\$100,000	\$400,000	\$100,000	\$500,000
Orange	\$3,785,714	\$15,142,856	\$400,000	\$15,542,856
Placer	\$145,797	\$583,188	\$200,000	\$783,188
Plumas	\$100,000	\$400,000	\$100,000	\$500,000
Riverside	\$2,162,689	\$8,650,756	\$400,000	\$9,050,756
Sacramento	\$1,322,605	\$5,290,420	\$400,000	\$5,690,420
San Benito	\$100,000	\$400,000	\$100,000	\$500,000
San Bernardino	\$2,910,323	\$11,641,292	\$400,000	\$12,041,292
San Diego	\$2,771,826	\$11,087,304	\$400,000	\$11,487,304
San Francisco	\$520,998	\$2,083,992	\$400,000	\$2,483,992
San Joaquin	\$885,058	\$3,540,232	\$400,000	\$3,940,232
San Luis Obispo	\$119,303	\$477,212	\$200,000	\$677,212
San Mateo	\$602,861	\$2,411,444	\$400,000	\$2,811,444
Santa Barbara	\$479,565	\$1,918,260	\$400,000	\$2,318,260
Santa Clara	\$1,803,123	\$7,212,492	\$400,000	\$7,612,492
Santa Cruz	\$350,186	\$1,400,744	\$400,000	\$1,800,744
Shasta	\$100,000	\$400,000	\$100,000	\$500,000
Sierra	\$100,000	\$400,000	\$100,000	\$500,000
Siskiyou	\$100,000	\$400,000	\$100,000	\$500,000

COUNTY	ANNUAL SCHOOL READINESS PROGRAM	TOTAL 4-YR SCHOOL READINESS PROGRAM	TOTAL 4-YR COUNTY COORDINATION	TOTAL ALLOCATION
Solano	\$380,788	\$1,523,152	\$400,000	\$1,923,152
Sonoma	\$325,873	\$1,303,492	\$400,000	\$1,703,492
Stanislaus	\$544,098	\$2,176,392	\$400,000	\$2,576,392
Sutter	\$100,000	\$400,000	\$100,000	\$500,000
Tehama	\$100,000	\$400,000	\$100,000	\$500,000
Trinity	\$100,000	\$400,000	\$100,000	\$500,000
Tulare	\$837,292	\$3,349,168	\$400,000	\$3,749,168
Tuolumne	\$100,000	\$400,000	\$100,000	\$500,000
Ventura	\$799,345	\$3,197,380	\$400,000	\$3,597,380
Yolo	\$178,019	\$712,076	\$200,000	\$912,076
Yuba	\$100,000	\$400,000	\$100,000	\$500,000
TOTAL	\$47,960,000	\$191,840,000	\$14,660,000	\$206,500,000

Attachment 4

First 5 Result Areas and Services (Adapted from the Annual Report)

Result Area	Examples of Services
Result Area 1: Improved Family Functioning (Family Support, Education and Services)	<ul style="list-style-type: none"> Adult education and literacy for parents Behavioral and mental health services Community resource and referral Distribution of <i>Kit for New Parents</i> Family literacy programs Other family functioning support services Provision of basic family needs (food, clothes, housing) Targeted intensive parent support services, including parenting classes through adult ed.
Result Area 2: Improved Child Development (Child Development Services)	<ul style="list-style-type: none"> Comprehensive screening and assessments* Early education programs for children (other than School Readiness and preschool for 3 and 4 year olds) Early education provider programs Kindergarten transition services Other child development services Preschool for 3 and 4 year olds Targeted intensive intervention for identified special needs*
Result Area 3: Improved Health (Health Education and Services)	<ul style="list-style-type: none"> Breastfeeding assistance Comprehensive screening and assessments* Home visitation for newborns Nutrition and fitness education Oral health Other health education Other health services Prenatal care Primary care services (immunizations, well-child checkups) Safety education and intentional and unintentional injury prevention Specialty medical services Targeted intensive intervention for identified special needs* Tobacco Cessation education and treatment
Result Area 4: Improved Systems of Care	<ul style="list-style-type: none"> Case/care management Integration Community strengthening efforts Program management Provider capacity building, training and support Schools' Readiness for children Service outreach, planning, support and management

*School Readiness Programs should report on these service areas in either Result Area 2 or 3, but not both.

Attachment 5

School Readiness Explanation of Terms

I. General Definitions

Result Area – An aggregation of program areas specifically designated to realize one of the four *Results to be Achieved*, as established at the inception of the First 5 initiative.

Result Area 1 = Improved Child Development

Result Area 2 = Improved Family Functioning

Result Area 3 = Improved Health

Result Area 4 = Improved Systems of Care

Services – A program, sub-program or aggregation of programs for a particular purpose (e.g. address oral health issues in children) or designed to achieve the outcomes detailed in local evaluation programs.

II. School Readiness Practices

Identification of Evidenced-Based and Promising Practices

For the purposes of this RFF, the following criteria are to be used to identify the type(s) of practices to be implemented in your school readiness program.

Evidence-based Practices

1. The study may be nonrandomized, or be a well-designed, randomized, controlled trial showing the intervention's effectiveness at only one single site.
2. Randomized, controlled trials are conducted in a laboratory-like setting, rather than in a typical school or community setting.
3. Randomized, controlled trials showing the intervention's effectiveness for students with different academic skills and socioeconomic backgrounds compared to the students in your school or classroom.
4. Randomized, controlled trials whose design and implementation may lack one or more elements described in the above criteria.

Promising Practices

Practices that have been carefully implemented, monitored and evaluated to demonstrate effectiveness of some intermediate step that leads to improved student performance, however:

- The practice has been in place a short time (less than five years); and
- There is not sufficient evidence that shows improvement of student performance;

The above criteria were extrapolated and adapted from:

The University of Indianapolis, Center of Excellence in Leadership of Learning, Web site: <http://cell.uindy.edu/>

Identifying And Implementing Educational Practices Supported By Rigorous Evidence: A User Friendly Guide. The Guide can be found on the U.S. Department of Education Web site at: www.ed.gov/rschstat/research/pubs/rigrousevid/guide.htm

III. Result and Services Definitions

RESULT AREA 1: Improved Family Functioning (Family Support, Education, and Services)

Adult Education and Literacy for Parents – Programs that provide parents with education, training, English as a Second Language (ESL) classes, literacy, and/or a General Equivalency Diploma (GED).

(NOTE: Adult Education parenting classes should be reported in Targeted Intensive Parent Support Services.)

Behavioral, Alcohol and Other Mental Health Services – Providing behavioral and mental health services, including substance abuse services and treatment, and counseling and/or therapy for children or adult family members, including play, parent-child interaction approaches, child-abuse counseling and family therapy.

Community Resource and Referral – Programs that provide referrals or service information about various community resources, such as medical facilities, counseling programs, family resource centers, and other supports for families.

Distribution of Kit for New Parents – Programs the purpose of which is to provide and/or augment the First 5 California *Kit for New Parents* to new and expectant parents. This should include programs and services whose primary purpose is the distribution of kits to new parents (e.g. a hospital visitation program for new mothers). Those programs for which distributing new kits constitutes a component of a broader

effort should be reported within that broader effort. (e.g. providing kits as part of a Home Visiting for Newborns program or a prenatal care program should be reported under those categories).

Family Literacy Programs – Programs designed to increase the amount of reading that parents do with their children. Programs may include educating parents about the benefits of reading or looking through books and other written materials with children. May include adult literacy programs such as “Even Start,” “Reach Out and Read,” “Raising a Reader,” etc.

Other Family Functioning Support Services – Other services for improved family functioning and any other areas that do not fall under the program areas listed below.

Provision of Basic Family Needs (food, clothing, housing) – Programs that provide meals, groceries or store certificates for food through programs such as food pantries; providing clothing; assisting families in obtaining emergency funding or household goods (e.g., major appliances) and assisting families in finding temporary or permanent housing and related case management services.

Targeted Intensive Parent Support Services Programs – Programs the purpose of which is to provide intensive support services to families at risk including home visitation, parenting classes provided through Adult Education programs, groups, or other support opportunities for parents or expectant parents to increase knowledge and skills related to parenting and improved family functioning. Examples of topics include positive discipline, ways to cognitively stimulate infants and children, stages of child development and infant care.

(NOTE: Parent education programs on a specific topic related to early childhood development or health should be included within that service area reporting, where appropriate.)

RESULT AREA 2: Improved Child Development (Child Development Services)

Comprehensive Screening and Assessments – Programs that provide screening and diagnostic services including behavioral, mental health, developmental and physical health. This includes screening programs that measure cognitive/intellectual functioning, language and communication skills, independent living skills, social and emotional development, and perceptual/motor functioning to identify children who show developmental delays, determine the nature and extent of the problem, and recommend a course of treatment and care.

Early Education Programs for Children (Other than School Readiness and Preschool for 3 and 4 year-olds as defined below) – Programs with the purpose of providing quality intensive educational activities and experiences for children intended

to foster social, emotional, and intellectual growth and prepare them for further formal learning. Also to be included are formal activities that provide access to programs, including subsidies.

(NOTE: “Drop in,” or short-term programs (e.g. Jump Start) should be noted under Other Child Development Programs.)

Early Education Provider Programs – Training and educational services, supports, and funding to improve the quality of care and/or improve facilities. Examples include Comprehensive Approaching to Raising Education Standards (CARES), facility grants, and supply grants, directed at providers.

Kindergarten Transition Services – Programs that provide classes, home visits, camps, tours, or other activities designed to help children be more comfortable with, and accustomed to the learning environment, expectations, activities and school personnel when they enter kindergarten. This category also includes individual child learning plans and school-wide transition plans.

Other Child Development Services – Programs that provide child development services that do not fall into any of the categories listed above, for example “drop in” or short-term programs.

Preschool for 3 and 4 year-olds – Programs designed to expand the availability of preschool for three and four year-olds distinct from a comprehensive school readiness program. This would include funding slots within existing preschool settings, funding specific preschool expansion efforts, Power of Preschool programs or other programs in which the intensity and quality are similar to Power of Preschool criteria.

Targeted Intensive Intervention for Identified Special Needs – Programs designed for early intervention for children with special needs, pre-diagnosis and post-diagnosis. Examples include case coordination, targeted special services and pre-assessment services.

RESULT AREA 3: Improved Health (Health Education and Services)

Breast Feeding Assistance – Providing services and promoting the benefits of breastfeeding, including classes and individual support to women, families, employers and the community on the benefits of breastfeeding.

Comprehensive Screening and Assessments – see definition in Result Area 2.

Home Visitation for Newborns – Programs designed to provide home visitation services intended to promote and monitor development of children ages 0 to 2.

Nutrition and Fitness Education – Programs the purpose of which is to provide information and services about nutrition and fitness and obesity prevention. Examples include programs designed to teach the basic principles of healthful eating (including the basic food groups), food handling, food preparation and shopping skills, vitamin and mineral requirements, and the relationship of nutrition to the preservation of good health (including obesity prevention and maintaining health during the pre and post natal period) and the prevention of illness.

Oral Health – Programs that provide dental screenings, checkups, cleanings, including preventative and acute treatments, education on prevention and preventative care and related services. May include training for providers as well as for children and families.

Other Health Education – Programs the purpose of which is to provide information and services about health, other than nutrition, fitness and obesity prevention (as defined above).

Other Health Services – Providing services centered on health education that do not fall into one of the categories listed above.

Prenatal Care – Programs or services to promote healthy pregnancies and deliveries, including education, treatment, counseling and other support services.

Primary Care Services (Immunizations, well-child check-ups) – Programs that provide medical care services to children ages 0 to 5 including preventative, diagnostic, therapeutic and curative care by a licensed healthcare professional.

Safety Education and Intentional and Unintentional Injury Prevention – Education programs that provide information about child passenger safety, car safety, when and how to dial 911, fire safety, water safety, increasing home safety (childproofing), not shaking babies, domestic violence prevention and unintentional injury violence prevention. Referrals to community resources that focus on these issues may also be included.

Specialty Medical Services – Programs and coordinated services that provide emergency and critical care services for children ages 0 to 5 who require specialty care or have any illnesses or injuries that require immediate, short-term intervention or other specialty care services such as for chronic childhood illnesses. This category also includes follow-up on medical conditions or concerns identified from health/developmental screenings, such as autism, ADHD, vision, or asthma.

Targeted Intensive Intervention for Identified Special Needs – see definition in Result Area 2.

Tobacco Cessation Education and Treatment – Programs with the purpose of providing services to educate participants on tobacco-related issues or to support participants in abstaining from using tobacco products, including providing information about why smoking is unhealthful, methods for quitting and additional supports for tobacco cessation.

RESULT AREA 4: Improved Systems of Care

Case/Care Management – Intra- and cross-system coordination of services for children: identifying and attracting clients, intake and assessment, developing a coordinated service plan, advocating on behalf of the client(s) while brokering and linking different services, implementing and monitoring service delivery, and continually evaluating and adjusting the service delivery plan while determining outcomes clients are or are not achieving.

Community Strengthening Efforts – Community awareness and educational events on a specific early childhood topic or on broad awareness of the importance of early childhood development. This can also include workforce development activities such as AmeriCorps/Vista but is exclusive of CARES, oral health and education for providers. Activities may include community events, fairs, and other venues for information distribution such as media campaigns or other public information activities. Civic engagement, advocating for policy changes or advocacy work may also be included.

Provider Capacity Building, Training and Support – General training and support of providers to improve their capacity to participate and deliver services to families with young children. General training might include assistance with creation of a business plan, grant writing workshops, sustainability workshops, large community conferences or forums or other general topics not linked to a specific service delivery or program.

Schools Readiness for Children – Services provided to promote the National Education Goals Panel (NEGP) Ten Keys to Ready Schools. Ready Schools: smooth the transition between home and school; strive for continuity between early care and education programs and elementary schools; help children learn and make sense of their complex and exciting world; are committed to the success of every child; are committed to the success of every teacher and every adult who interacts with children during the school day; introduce or expand approaches that have been shown to raise achievement; are learning organizations that alter practices and programs if they do not benefit children; serve children in communities; take responsibility for results; and, have strong leadership.

Service Outreach, Planning, Support and Management – Services provided by Commission contractors or Commission staff including any of the following activities: Program outreach and education other than that integral to specific service areas,

services planning and coordination, program monitoring, technical assistance and support, support for interagency collaboration, support for services to diverse populations, oversight of service quality, contract administration, program database management, and program support and oversight activities. Costs that should NOT be included are: administrative and evaluation costs, as defined in the First 5 Financial Management Guide.

IV. Provider Definitions

This relates to the type of provider that is responsible for providing this service to the intended population served. The provider may be the county commission directly or an entity contracted to provide services.

Elementary Schools (P-6, K-6 or K-8) /Elementary School Districts – Public or private schools that serve pre-kindergarten through eighth grade or a subset of those grades. These schools should be recognized as a State Department of Education recognized K-6 or K-8 school (or a subset of those grades).

County or State Educational Institutions – Any county or state entity that provides educational services at any level, exclusive of elementary schools. This would include departments of education, California Community Colleges, California State University or the University of California.

Community-based Agencies – An IRS recognized not-for-profit agency or collaborative of several agencies that provides health, educational or human services. These may include community-based agencies, family resource centers, a Regional Center, or other non-profit organizations.

County Government Agency – An authorized County department or agency operating under the County governing structure, i.e., board of supervisors. Examples: County health, social services or mental health agencies. County Offices of Education should be reported under County or State Educational Institutions rather than this category.

Other Government Agency – An authorized local (such as city), state or federal agency. Examples: City community or social services agencies; local city branch library, city recreation program, federal office, etc.

Private Agencies/Institutions – Any private or for-profit institution. Examples: private colleges, consulting firms, for-profit providers or hospitals.

First 5 Commission – The Commission is identified if the service is directly provided by the Commission. For example, if the county commission hires public health nurses to provide services. This category may also be used for services under Result Area 4.

V. Population Served Definitions

Children (ages 0 to 5; up to 6th birthday) – Children ages 0 to 5 who have not yet had their 6th birthday and receive services from a commission program.

Parents/guardians and Primary Caregivers – Parents/guardians and other adults who are acting as the primary caregiver for a child age 0 to 5. Parents and legal guardians are included in this definition, as are foster parents, grandparents, or other family members who serve as the primary caregivers for a child age 0 to 5.

Other family members – Other family members include siblings age 6 or older, and adults (other than service providers, defined below) who are not primary caregivers, but who participate with children in First 5 activities.

Providers – Health, social service, educational or other providers that provide services to pregnant women and/or to children ages 0 to 5 in the community, whose services promote the identified First 5 Result Areas, and who participate in First 5 training or support programs in order to strengthen their capacity to better serve the First 5 target audience.

VI. Ethnicity Categories

Alaska Native or American Indian
Asian
Black/African American
Hispanic/Latino
Pacific Islander
White
Multiracial
Other
Unknown

VII. Language Spoken in the Home Categories

English
Spanish
Cantonese
Mandarin
Vietnamese

Korean
Other
Unknown

VIII. Age Categories

Less than three years (up to 3rd birthday)
3 to 5 years (up to 6th birthday)
Unknown

IX. First 5 Special Needs Definition (Evaluation Workgroup Recommendation)

A. First 5 California defines children with special needs as having one of the following:

- Children with identified disability, health, or mental health conditions requiring early intervention, special education services, or other specialized services and supports; or,
- Children without identified conditions, but requiring specialized services, supports, or monitoring.

First 5 California does not require counties to track the children under each category separately.

B. Operational Definitions:

1. Children with identified disability, health, or mental health conditions requiring early intervention, special education services, or other specialized services and supports
 - a. Children who are protected by the Americans with Disabilities Act (ADA)
The ADA's protection applies primarily, but not exclusively, to individuals with disabilities. The term disability means that the individual:
 - Has a physical or mental impairment that substantially limits one or more of the major life activities such as caring for oneself, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, or working;
 - Has a record of such an impairment; or
 - Is regarded as having such an impairment

Examples of these impairments are: orthopedic, visual, speech, and hearing impairments; cerebral palsy, epilepsy, muscular dystrophy, multiple sclerosis, cancer, heart disease, diabetes, mental retardation, emotional illness, specific learning disabilities, HIV disease.

[See Americans with Disabilities Act (ADA), 42 U.S.C. section 12101 – 12213.]

- b. Children who have, or are at-risk for a developmental disability as defined by the Individuals with Disabilities Education Act (IDEA) Part C (Early Start 0 to 3 years old) or have a specific diagnosis as defined by IDEA part B (3 years and above)

IDEA PART C: Children birth to 3 years with disabilities or who are at risk for a disability as defined by California Intervention Services Act (Early Start Program) eligibility:

- (1) Infants and toddlers with developmental delay in one or more of the following five areas: cognitive, physical/motor, communication, social/emotional, adaptive;
- (2) infants and toddlers with established risk conditions (known etiology with established harmful developmental consequences); and
- (3) infants and toddlers who are at high risk of having a substantial developmental disability due to a combination of biomedical risk factors.

[See Individuals with Disabilities Education Act (IDEA), *Part C*, 20 U.S.C. section 1431 – 1445; see also *California Early Intervention Services Act*, CA Government Code Title 14, Chapter 4, section 95014(a)- *The Lanterman Act*]

IDEA PART B: Children 3 to 5 years of age with a disability as defined by the California Department of Education, Preschool Special Education eligibility:

Having a disabling condition or an established medical disability, such as autism, deaf-blindness, deafness, hearing impairment, mental retardation, multiple disabilities, orthopedic impairment, other health impairment, serious emotional disturbance, specific learning disability, speech or language impairment, traumatic brain injury, visual impairment, and established medical disability [California Education Code, Part 30, Chapter 4.45, section 56441.11(b)(1).]

[See Individuals with Disabilities Education Act (IDEA), *Part B*, 20 U.S.C. section 1411 – 1419]

- c. Children that meet the DSM/ZERO TO THREE/California Infant, Preschool, and Family Mental Health Initiative definition or that meet the Federal Maternal and Child Health Bureau at the U.S. Department of Health and Human Services Special Needs definition

- DSM classifications: mental retardation, learning disorder, communication disorders, pervasive developmental disorders (including autism and Asperger's syndrome), disruptive behavior disorders (including attention deficit disorder and oppositional defiant disorder), feeding and eating disorders, tic disorders, elimination disorders, and other disorders of infancy, childhood, or adolescence (including anxiety disorder and reactive attachment disorder).
 - MCH definition: Those children who have or are at risk for a chronic physical, developmental, behavioral or emotional condition and who also require health and related services of a type or amount beyond that required by children generally.
2. Children without identified conditions but requiring specialized services, supports or monitoring

These children may not have a specific diagnosis but are children whose behavior, development and/or health affect their family's ability to find and maintain services. For example, concerns may be in the area of behavior and social development, communicative development, cognitive development, physical/motor development, or in general development.

The operational criteria are purposely broad. First 5 California assumes counties have an operational protocol for collecting and reporting data on children who fall into the following categories:

- Provider identifies the condition;
- Duration of the condition; and
- Screening/assessment tools utilized to identify the condition.

X. Fiscal Terms

New cash match – new funds or County Commission funds allocated in the current fiscal year that directly support the implementation and operation of School Readiness programs. Acceptable sources of local cash match must be targeted to an element of the School Readiness Program and may include: County Commission funds, new expenditures by school districts and local public agencies in excess of the existing local investment, and funds from private sources such as foundations and businesses.

Only funds supporting children ages 0 to 5 and their families shall be considered as part of the required match. In-kind contributions (facilities, supplies, services and so on) that are not provided by a "cash" disbursement do not count toward the local cash match requirement, but are encouraged. First 5 funds cannot be used to supplant existing local investment.

School Readiness funds – Includes both state and local matching funds; those funds that are listed on Form 4 School Readiness Funding Sources and Amounts.

Blended funds – Includes state and local matching funds, plus other partner funds not part of new cash match.